

FORM PTO-1390
(REV. 12-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

NEX87/PCT-US

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/030787

INTERNATIONAL APPLICATION NO.
PCT/US00/20397

INTERNATIONAL FILING DATE
26 JULY 2000

PRIORITY DATE CLAIMED
29 JULY 1999

TITLE OF INVENTION HIGH AFFINITY TGF β NUCLEIC ACID LIGANDS AND INHIBITORS

APPLICANT(S) FOR DO/EO/US

PAGRATIS, Nikos; LOCHRIE, Michael; GOLD, Larry

Applicant-herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
Abstract; Application Data Sheet; Postcard Receipt; Statement Under 37 C.F.R. §1.821

531 Rec'd

11 JAN 2002

U.S. APPLICATION NO. 10/0307

INTERNATIONAL APPLICATION NO.
PCT/US00/20397ATTORNEY'S DOCKET NUMBER
NEX87/PCT-US21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1040.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$890.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 710.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE |
|---|--------------|--------------|------------|
| Total claims | 21 - 20 = | 1 | x \$18.00 |
| Independent claims | 4 - 3 = | 1 | x \$84.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$280.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | \$ 812.00 |

\$

\$ 18.00

\$ 84.00

\$

\$ 812.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$

SUBTOTAL =

\$ 812.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$ 812.00

Amount to be
refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 22-0277 in the amount of \$ 812.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 22-0277. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

ROSEMARY KELLOGG
Customer No. 25,871
SWANSON & BRATSCHUN, L.L.C.
1745 Shea Center Drive, Suite 330
Highlands Ranch, Colorado 80129
UNITED STATES OF AMERICA

January 11, 2002

SIGNATURE

ROSEMARY KELLOGG

NAME

39,726

REGISTRATION NUMBER

DATE: January 31, 2002
APPLICANT: PAGRATIS *et al.*
SERIAL NO.: 10/030,787
FOR: HIGH AFFINITY TGF β NUCLEIC ACID LIGANDS AND INHIBITORS

RECEIPT IS HEREBY ACKNOWLEDGED OF: TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE CONCERNING A FILING UNDER 35 U.S.C. 371; COPY OF TRANSMITTAL LETTER FOR DEPOSIT ACCOUNT PURPOSES; COMBINED DECLARATION AND POWER OF ATTORNEY EXECUTED BY NIKOS PAGRATIS; COMBINED DECLARATION AND POWER OF ATTORNEY EXECUTED BY MICHAEL LOCHRIE; COMBINED DECLARATION AND POWER OF ATTORNEY EXECUTED BY LARRY GOLD; RECORDATION FORM COVER SHEET; ASSIGNMENT; INFORMATION DISCLOSURE STATEMENT; PTO FORM 1449; COPIES OF ART CITED THEREON

Express Mail No. EV 025903960 US
Docket No. NEX87/PCT-US

Swanson & Bratschun, L.L.C.
1745 Shea Center Drive, Suite 330
Highlands Ranch, Colorado 80129

